

INFORMATION DISCLOSURE STATEMENT

In re Application of: Fife, et al. Attorney Docket No.: AVX-174-DIV  
 Serial No.: To Be Assigned Date: August 22, 2003  
 Filed: Herewith Art Unit: 2831  
 Confirmation No.: Unknown Our Account No.: 04-1403  
 Title: Protective Coating for Electrolytic Capacitors Customer No.: 22827

Commissioner for Patents  
 U.S. Patent and Trademark Office  
 Post Office Box 1450  
 Alexandria, VA 22313-1450

Sir:

The following is an Information Disclosure Statement for the captioned patent application, pursuant to 37 CFR Sections 1.56, 1.97, and 1.98.

1.[X] Attached hereto is:

- a.[X] A list of materials for consideration per Rule 98(a)(1): 4 page(s)
- b.[X] A legible copy of each patent, publication, or other item listed per Rule 98(1)(2), unless not required per Rule 98(c) and/or (d) and as indicated on the attached list(s):  
141 item(s)
- c.[ ] For each non-English language item listed, pursuant to Rule 98(a)(3), a concise explanation of the relevance thereof as it is presently understood by the individual designated in Rule 56(c) most knowledgeable about the content of such items: \_\_\_\_\_  
 [ ] Such explanation is provided in the Search Report from a corresponding application enclosed herewith along with any enclosed translation into English.

2.[X] This Information Disclosure Statement is being filed [CHECK ONE]:

- a.[X] WITHIN THREE MONTHS of the application filing date, national stage date of entry, or along with or after a request for continued examination, OR BEFORE the mailing date of a first Office Action on the merits, whichever event occurs last, WHEREFORE per Rule 97(b) NO filing fee or Rule 97(e) certificate is required.
- b.[ ] AFTER the time periods of section 2.a above, but BEFORE a Final Action, Notice of Allowance OR an action that otherwise closes prosecution, WHEREFORE PER Rule 97(c) submitted herewith is [CHECK ONE]:
  - i.[ ] Certification per Rule 97(e): OR
  - ii.[ ] Filing Fee per Rule 17(p) .....\$180.00
- c.[ ] AFTER a Final Action OR Notice of Allowance, but BEFORE payment of the issue fee, WHEREFORE per Rule 97(d) submitted herewith is:
  - i. Certification per Rule 97(e); AND
  - ii. Filing fee per Rule 17(p) .....\$180.00

3.[ ] Rule 97(e) Certification: per Rule 97(e), the undersigned certifying party make the following certification statement [CHECK ONE]:

- a.[ ] That each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; OR
- b.[ ] That no item of information contained in this Information Disclosure Statement was cited in a foreign patent office in a counterpart foreign application and to the knowledge of the undersigned after making a reasonable inquiry, was known to any individual designated in Rule 56(c) more than three months prior to the filing of this statement.

CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below).

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Address: \_\_\_\_\_ Date: \_\_\_\_\_

- 4.[X] DEPOSIT ACCOUNT AUTHORIZATION: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

- 5.[X] CERTIFICATE OF MAILING: This Information Disclosure Statement is being filed pursuant to [CHECK AND COMPLETE ONE]:

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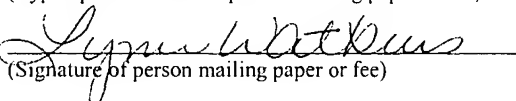
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Date: August 22, 2003

(Rev. 5/92)  Information Disclosure Statement List  By Applicant  Under 37 CFR Section 1.98(a) (1)  (Use several sheets if necessary)	Attorney Docket Number AVX-174-DIV	Serial Number To Be Assigned
	Applicant Fife, et al.	
	Filing Date: Herewith Confirmation No.: Unknown	Group 2831

NOTE: If no indication is made in the column marked "COPY NOTE," the required legible copy of the corresponding item is submitted herewith; otherwise, a copy is not required and/or not submitted, for the following reason(s) [corresponding reason number is listed in "COPY NOTE" column]

- (1) This item is cumulative, per Rule 98(c)
- (2) A copy of this item was previously cited by or submitted to the U.S. Patent and Trademark Office in:  
 USSN 10/167,041, filed 06/11/02, or  
 USSN \_\_\_\_\_, filed \_\_\_\_\_;  
 Relied on under 35 U.S.C. Section 120, per Rule 98(d)
- (3) Both reasons (1) and (2) apply
- (4) No legible complete copy is possessed, in custody of controlled, or readily available

U.S. PATENT DOCUMENTS											
EXAMINER INITIALS	PATENTEE NAME		PATENT NUMBER							ISSUE DATE	COPY NOTE
	Weisberg		1	4	1	3	1	4	5	04/18/22	2
	Bourgault, et al.		3	3	4	5	5	4	5	10/03/67	2
	Preissinger, et al.		4	0	1	9	1	0	1	04/19/77	2
	Galvagni		4	0	8	5	4	3	5	04/18/78	2
	Coleman, et al.		4	1	6	8	5	2	0	09/18/79	2
	Constanti, et al.		4	4	8	0	2	9	0	10/30/84	2
	Dequasie, et al.		4	5	8	0	1	8	9	04/01/86	2
	Shaffer		4	6	0	9	9	7	1	09/02/86	2
	Imhof, et al.		4	6	2	7	4	0	5	12/09/86	2
	Crowley, Jr.		4	6	3	9	8	3	6	01/27/87	2
	Gupta, et al.		4	7	2	9	0	5	8	03/01/88	2
	Barker, et al.		4	7	5	7	4	1	4	07/12/88	2
	Harakawa, et al.		4	7	8	5	3	8	0	11/15/88	2
	Saiki		4	7	9	4	4	9	1	12/27/88	2
	Harakawa, et al.		4	8	0	5	0	7	4	02/14/89	2
	Quantrille, et al.		4	8	3	7	0	7	9	06/06/89	2
	Blanchet-Fincher, et al.		4	8	4	9	3	1	4	07/18/89	2
	Yoshimura, et al.		4	8	6	4	4	7	2	09/05/89	2
	Jonas, et al.		4	9	1	0	6	4	5	03/20/90	2
	Harakawa, et al.		4	9	3	4	0	3	3	06/19/90	2
	Sturmer, et al.		4	9	4	5	4	5	2	07/31/90	2
	Locke		4	9	8	4	1	3	4	01/08/91	2
	Kobashi, et al.		5	0	0	5	1	0	7	04/02/91	2
	Kamigawa		5	0	1	7	2	7	2	05/21/91	2
	Kinuta, et al.		5	1	1	9	2	7	4	06/02/92	2
	Saiki, et al.		5	1	3	5	6	1	8	08/04/92	2
	Kudoh, et al.		5	1	8	7	6	5	0	02/16/93	2
	Galvagni		5	1	9	8	9	6	8	03/30/93	2
	Okubi, et al.		5	2	3	8	5	1	8	08/24/93	2
	Gregg, et al.		5	3	2	0	7	2	5	06/14/94	2
	Salisbury		5	3	5	7	3	9	9	10/18/94	2
	Galvagni, et al.		5	3	9	4	2	9	5	02/28/95	2
	Kojima, et al.		5	4	2	4	9	0	7	06/13/95	2
	Abe, et al.		5	4	3	6	7	9	6	07/25/95	2
	Shaw, et al.		5	4	4	0	4	4	6	08/08/95	2
	Sakata, et al.		5	4	5	7	8	6	2	10/17/95	2
	Sakata, et al.		5	4	7	3	5	0	3	12/05/95	2

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	Applicant Fife, et al.	
	Filing Date: Herewith Confirmation No.: Unknown	Group 2831

	Kulkarni	5	4	9	5	3	8	6	02/27/96	2
	Sakata, et al.	5	5	8	6	0	0	0	12/17/96	2
	Heller, et al.	5	5	9	3	8	5	2	01/14/97	2
	Hahn, et al.	5	6	2	2	7	4	6	04/22/97	2
	Forrow, et al.	5	7	1	0	0	1	1	01/20/98	2
	Sakata, et al.	5	7	2	9	4	2	8	03/17/98	2
	Nishiyama, et al.	5	7	9	8	9	0	5	08/25/98	2
	Kudoh, et al.	5	8	1	2	3	6	7	09/22/98	2
	Shieh	5	8	7	6	9	5	2	03/02/99	2
	Hatanaka, et al.	5	9	1	4	8	5	2	06/22/99	2
	Heller, et al.	5	9	6	5	3	8	0	10/12/99	2
	Heller, et al.	5	9	7	2	1	9	9	10/26/99	2
	Guo, et al.	6	0	3	3	8	6	6	03/07/00	2
	Fukaumi, et al.	6	1	5	4	3	5	8	11/28/00	2
	Heller, et al.	6	1	6	2	6	1	1	12/19/00	2
	Lysejko, et al.	6	1	9	2	2	5	2	02/20/01	2
	Bishop, et al.	6	1	9	7	2	5	2	03/06/01	2
	Kobayashi, et al.	6	2	1	9	2	2	3	04/17/01	2
	Monboquette	6	2	4	1	8	6	3	06/05/01	2
	Heller, et al.	6	2	8	4	4	7	8	09/04/01	2
	Feldman, et al.	6	2	9	9	7	5	7	10/09/01	2
	Fife	6	3	2	2	9	1	2	11/27/01	2
	Bauer	6	3	2	2	9	6	3	11/27/01	2
	Igaki, et al.	6	3	2	4	0	5	1	11/27/01	2
	Heller, et al.	6	3	2	9	1	6	1	12/11/01	2
	Feldman, et al.	6	3	3	8	7	9	0	01/15/02	2
	Svorc, et al.	6	3	4	0	5	9	7	01/22/02	2
	Yoshida, et al.	6	3	5	1	3	7	1	02/26/02	2
	Mitsui, et al.	6	4	3	0	0	3	3	08/06/02	2

FOREIGN PATENT DOCUMENTS															
EXAMINER INITIALS		COUNTRY	DOCUMENT NUMBER							PUBLICATION DATE	TRANSLATION			COPY NOTE	
											YES	NO	N/A		
		EP	0	5	0	7	3	1	5		10/07/92			X	2
		EP	0	5	5	9	1	0	9		09/08/93			X	2
		EP	0	5	7	1	3	2	9		11/24/93			X	2
		Great Britain	1	0	3	3	0	2	0		06/15/66			X	2
		Japan	6	0	3	7	1	1	4				X		2

\*"NO" means that no copy of an English language translation is within the possession, custody, or control of, or is readily available to any individual designated in Rule 56(c).

EXAMINER INITIALS	OTHER DOCUMENTS		COPY NOTE
	Specify author (if any), Title, Pertinent Pages, Date & Place of Publication		
	Abstract of Japanese Patent No. 01-253226		2
	Abstract of Japanese Patent No. 02-074016		2
	Abstract of Japanese Patent No. 02-074018		2
	Abstract of Japanese Patent No. 02-074021		2
	Abstract of Japanese Patent No. 02-153516		2
	Abstract of Japanese Patent No. 02-219211		2
	Abstract of Japanese Patent No. 02-235326		2

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	Filing Date: Herewith Confirmation No.: Unknown	Group 2831

	Abstract of Japanese Patent No. 02-238613	2
	Abstract of Japanese Patent No. 02-249221	2
	Abstract of Japanese Patent No. 02-272717	2
	Abstract of Japanese Patent No. 02-298010	2
	Abstract of Japanese Patent No. 03-034303	2
	Abstract of Japanese Patent No. 03-046215	2
	Abstract of Japanese Patent No. 03-064013	2
	Abstract of Japanese Patent No. 03-072615	2
	Abstract of Japanese Patent No. 03-073509	2
	Abstract of Japanese Patent No. 03-078222	2
	Abstract of Japanese Patent No. 03-080522	2
	Abstract of Japanese Patent No. 03-093214	2
	Abstract of Japanese Patent No. 03-093216	2
	Abstract of Japanese Patent No. 03-093217	2
	Abstract of Japanese Patent No. 03-096210	2
	Abstract of Japanese Patent No. 03-167816	2
	Abstract of Japanese Patent No. 03-183111	2
	Abstract of Japanese Patent No. 03-261124	2
	Abstract of Japanese Patent No. 03-280519	2
	Abstract of Japanese Patent No. 03-280523	2
	Abstract of Japanese Patent No. 03-285321	2
	English Translation of Japanese Patent No. 04-023419	2
	Abstract of Japanese Patent No. 04-025009	2
	Abstract of Japanese Patent No. 04-034915	2
	Abstract of Japanese Patent No. 04-042912	2
	Abstract of Japanese Patent No. 04-044305	2
	Abstract of Japanese Patent No. 04-048710	2
	Abstract of Japanese Patent No. 04-053115	2
	Abstract of Japanese Patent No. 04-073924	2
	Abstract of Japanese Patent No. 04-111407	2
	Abstract of Japanese Patent No. 04-188814	2
	Abstract of Japanese Patent No. 04-206811	2
	Abstract of Japanese Patent No. 04-307915	2
	Abstract of Japanese Patent No. 04-307917	2
	Abstract of Japanese Patent No. 04-315412	2
	Abstract of Japanese Patent No. 04-315413	2
	Abstract of Japanese Patent No. 04-320318	2
	Abstract of Japanese Patent No. 05-047604	2
	Abstract of Japanese Patent No. 05-129160	2
	Abstract of Japanese Patent No. 05-136006	2
	Abstract of Japanese Patent No. 05-152169	2
	Abstract of Japanese Patent No. 05-159983	2
	Abstract of Japanese Patent No. 05-159987	2
	English Translation of Japanese Patent No. 05-217808	2
	Abstract of Japanese Patent No. 05-217809	2
	Abstract of Japanese Patent No. 05-234820	2
	Abstract of Japanese Patent No. 05-283291	2
	Abstract of Japanese Patent No. 06-077093	2
	Abstract of Japanese Patent No. 06-084708	2
	Abstract of Japanese Patent No. 06-112094	2
	Abstract of Japanese Patent No. 06-112095	2

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	Fife, et al.	
	Filing Date:	Group
	Herewith	2831
	Confirmation No.:	
	Unknown	

	Abstract of Japanese Patent No. 06-112096	2
	Abstract of Japanese Patent No. 06-196116	2
	Abstract of Japanese Patent No. 52-079255	2
	"The Physical and Chemical Properties of Shellac," H.S. Cockeram and S.A. Levine, Journal of the Society of Cosmetic Chemists, May 12, 1961, pp. 316-323	2
	"Shape-Memory Alloys," Kirk Othmer Concise Encyclopedia of Chemical Technology, pp. 1052-1053	2
	"Application of Shellac in Polymers," Maiti and Rahman, pp. 442-445	2
	"The Heat Curing of Shellac," S. Ranganathan and R.W. Aldis, Bulletin No. 14, pp. 1-10	2
	"Tantalum Nitride: A New Substrate for Solid Electrolyte Capacitors," Terrance B. Tripp, Richard M. Creasi, and Bonnie Cox, 20 <sup>th</sup> Annual Meeting – Capacitor and Resistor Technology Symposium and Seminars	2
	"Comparisons of Multilayer Ceramic and Tantalum Capacitors," Jeffrey Cain, AVX Corporation	2
	"Basic Tantalum Capacitor Technology," John Gill, AVX Corporation	2
	"Glossary of Terms Used in the Tantalum Industry," John Gill, AVX Corporation	2
	"Analysis of Solid Tantalum Capacitor Leakage Current," R.W. Franklin, AVX Corporation	2
EXAMINER		DATE CONSIDERED
Examiner: initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.		